



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
-----------------	-------------	----------------------	---------------------	------------------

09/966,223

09/28/2001

James B. Kargman

2002052

5896

34018

7590

06/12/2006

GREENBERG TRAURIG, LLP  
77 WEST WACKER DRIVE  
SUITE 2500  
CHICAGO, IL 60601-1732

EXAMINER

BACKER, FIRMIN

ART UNIT

PAPER NUMBER

3621

DATE MAILED: 06/12/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b> 09/966,223	<b>Applicant(s)</b> KARGMAN, JAMES B.	
	<b>Examiner</b> FIRMN BACKER	<b>Art Unit</b> 3621	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 17 March 2006.  
 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.  
 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-39 is/are pending in the application.  
 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.  
 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.  
 6) ☒ Claim(s) 1-39 is/are rejected.  
 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.  
 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.  
 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
 Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
 Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).  
 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
 a) ☐ All b) ☐ Some \* c) ☐ None of:  
 1. ☐ Certified copies of the priority documents have been received.  
 2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

**DETAILED ACTION**

***Claim Rejections - 35 USC § 102***

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

2. Claims 1-39 are rejected under 35 U.S.C. 102(e) as being anticipated by Movalli et al (U.S. PG Pub No. 2005/0004876 A1).

3. As per claim 1, 18, Movalli et al teach a method of electronically executing a commercial transaction between a customer and a vendor, the method comprising transmitting electronically a transaction code from the customer to an electronic order processing system associated with the vendor; receiving the transaction code by the order processing system associated with the vendor; identifying the user based upon the contents of the transaction code; authenticating the transaction code; identifying a commercial transaction associated with the transaction code; and executing the identified commercial transaction (*see figs 4, 5, paragraphs 0046-0051*).

4. As per claim 2, 20, Movalli et al teach a method where the transaction code is comprised of a telephone dialing sequence, and applying the transaction code dial sequence to a line associated with a public switched telephone network (*see figs 1*).

5. As per claim 3, 21, Movalli et al teach a method in which the transaction code is comprised of a Universal Resource Locator, and the transaction code is transmitted via the Internet (*see fig 1, 2, 3*).

6. As per claim 4, 19 Movalli et al teach a method of transmitting a transaction code that has been previously stored within digital memory associated with a wireless telephone via a wireless communications network (*see fig 1*).

7. As per claim 5, Movalli et al teach a method of identifying the contents of a user identification data field within the transaction code; locating the user identification data field contents within a database accessible by the order processing system (*see paragraphs 0046-0051*).

8. As per claim 6, Movalli et al teach a method of identifying the contents of a security code field within the transaction code; determining that the received transaction code is authentic when the contents of the security code field correspond to a previously-configured security code associated with the contents of the user identification data field, which previously-configured security code is stored within a database accessible by the order processing system (*see paragraphs 0046-0051*).

Art Unit: 3621

9. As per claim 7, Movalli et al teach a method of identifying a decryption key associated with the contents of the user identification data field; decrypting at least a portion of the transaction code using the identified decryption key; determining whether the decrypted portion of the transaction code is valid (*see paragraphs 0046-0051*).

10. As per claim 8, Movalli et al teach a method of identifying a decryption key based upon the identity of the user; decrypting at least a portion of the transaction code using the decryption key (*see paragraphs 0054*).

11. As per claim 9, Movalli et al teach a method of determining the contents of a transaction identification field within the transaction code; locating the contents of the transaction identification field within a database accessible by the order processing system; identifying the nature of the commercial transaction based upon information within the database associated with the contents of the transaction identification field (*see paragraphs 0046-0051*).

12. As per claim 10, Movalli et al teach a method of determining the contents of a transaction identification field within the transaction code; identifying the nature of the commercial transaction based upon information within the transaction identification field (*see paragraphs 0046-0051*).

13. As per claim 11, Movalli et al teach a method of locating a record within a database associated with the order processing system based upon the identity of the user; retrieving details

Art Unit: 3621

of the commercial transaction from the database record associated with the user (*see paragraphs 0046-0051*).

14. As per claim 12, Movalli et al teach a method maintained within a point of sale computer system operated by the vendor (*see fig 1, 2*).

15. As per claim 13, Movalli et al teach a method of entering the identified commercial transaction into a point of sale computer system operated by the vendor (*see fig 1*).

16. As per claim 14, Movalli et al teach a method of electronically executing a commercial transaction between a customer and a vendor, the method comprising dialing a transaction code comprised of a telephone dial sequence onto a telephone network directed to an order processing system associated with the vendor; receiving a telephone call by the order processing system as a result of the dialing of the transaction code; detecting caller identification information received by the order processing system from the telephone network in conjunction with the telephone call; detecting at least a portion of the transaction code dial sequence by the order processing system associated with the vendor; identifying the user based upon the caller identification information received by the order processing system; identifying a commercial transaction associated with the transaction code; and executing the identified commercial transaction (*see figs 4, 5, paragraphs 0046-0051*).

Art Unit: 3621

17. As per claim 15, Movalli et al teach a method identifying a record in a database associated with the order processing system based upon the received caller identification information; retrieving details of the commercial transaction from the database record associated with the received caller identification information (*see figs 1*).

18. As per claim 16, Movalli et al teach a method of authenticating the user before executing the identified commercial transaction (*see figs 4, 5, paragraphs 0046-0051*).

19. As per claim 17, Movalli et al teach a method prompting the user to enter a passcode; determining that the passcode entered corresponds to a passcode value previously stored within a database record associated with the caller identification information (*see figs 4, 5, paragraphs 0046-0051*).

20. As per claim 22, Movalli et al teach a method conveyed to the electronic device via wireless messaging (*see fig 1, 2, 3*).

21. As per claim 23, Movalli et al teach a method identifying wireless message as a transaction code capable of storage within the user device; programming the transaction code into digital memory within the user device without requiring substantial intervention by the user (*see figs 4, 5, paragraphs 0046-0051*).

Art Unit: 3621

22. As per claim 24, Movalli et al teach a method where the transaction code is generated by a point of sale system associated with the vendor in response to a request by the customer (*see figs 1*).

23. As per claim 25, Movalli et al teach a method for the dissemination of information to a mobile electronic user device based upon the device location, for the facilitation of a commercial transaction between a customer and a vendor, the method comprising the steps of: identifying the location of the user device; determining that the location of the user device conforms to a predetermined location criterion for receipt of a message; conveying the message to the user device electronically (*see figs 4, 5, paragraphs 0046-0051*).

24. As per claim 26, Movalli et al teach a method in which the message is a transaction code which can be stored within the user device and subsequently transmitted by the user device to initiate a commercial transaction (*see fig 1, 2, 3*).

25. As per claim 27, Movalli et al teach a method of determining that the location of the user device conforms to a predetermined criterion for receipt of a message is comprised of the step of determining that the location of the user device lies within a predetermined geographical region associated with the vendor (*see figs 4, 5, paragraphs 0046-0051*).

26. As per claim 28, Movalli et al teach a method in which the user device is a cellular telephone, and the step of identifying the location of the user device is performed via



Art Unit: 3621

triangulation techniques implemented by the communications infrastructure with which the cellular telephone operates (*see figs 4, 5, paragraphs 0046-0051*).

27. As per claim 29, Movalli et al teach a method in which the user device includes a global positioning system receiver, and the step of identifying the location of the user device is performed by receiving location information provided by the global positioning system receiver (*see fig 1, 2*).

28. As per claim 30, Movalli et al teach a method of determining that the message satisfies one or more filter criteria preconfigured by the customer (*see fig 1, 2*).

29. As per claim 31, Movalli et al teach a method which the filter criteria are satisfied when one or more of the following message attributes conform to predetermined user preferences: the identity of the vendor; the geographical location of the vendor; the zip code in which the vendor is located; the city in which the vendor is located; the nature of the business conducted by the vendor; the frequency with which the customer enters the area in which the vendor does business; and the frequency with which the customer receives messages from the vendor (*see figs 4, 5, paragraphs 0046-0051*).

30. As per claim 32, Movalli et al teach a method of automatically deleting the transaction code from the user device upon the satisfaction of a deletion criterion (*see figs 4, 5, paragraphs 0046-0051*).

31. As per claim 33, Movalli et al teach a method which the deletion criterion is the expiration of a predetermined period of time since the transaction code was stored within the user device (*see figs 1*).

32. As per claim 34, Movalli et al teach a method which the deletion criterion is the transmission of the transaction code by the user device (*see fig 1, 2, 3*).

33. As per claim 35, Movalli et al teach a method which the deletion criterion is the transportation of the user device a predetermined distance from a location associated with the vendor (*see fig 1, 2, 3*).

34. As per claim 36, Movalli et al teach a method comprised of map information identifying the location of the user device and a location associated with the vendor (*see figs 4, 5, paragraphs 0046-0051*).

35. As per claim 37, Movalli et al teach a method of dissemination of information to a mobile electronic user device based upon the device location, for the facilitation of a commercial transaction between a customer and a vendor, the method comprising the steps of: identifying the current location of the user device; identifying the direction and rate at which the user device is moving; determining that the location, direction of travel and rate of travel of the user device

Art Unit: 3621

conform to one or more predetermined criterion for receipt of a message; conveying the message to the user device electronically (*see figs 4, 5, paragraphs 0046-0051*).

36. As per claim 38, Movalli et al teach a method of determining the anticipated location of the user device at a predetermined time in the future based upon the current location, rate of travel and direction of travel; determining that the anticipated location of the user lies within a predetermined region associated with the vendor (*see figs 4, 5, paragraphs 0046-0051*).

37. As per claim 39, Movalli et al teach a method of calculating a radius of accessibility for the customer operating the user device as an estimate of the geographical region over which the customer would travel to engage in a commercial transaction, which calculation is based upon the location, rate of travel and direction of travel of the user device; determining that a location associated with the vendor lies within the radius of accessibility (*see figs 4, 5, paragraphs 0046-0051*).

### ***Response to Arguments***

38. Applicant's arguments filed March 17<sup>th</sup>, 2006 have been fully considered but they are not persuasive.

a. Applicant argue that the prior art (Movalli) fail to teach the disclosed invention, especially a system wherein a transaction code is receiving by a vendor. Examiner respectfully disagrees with Applicant's characterization of the

Art Unit: 3621

prior art. Movalli teaches among other thing in a credit card transactions, the transaction data 210 and the human identifier 220 would be captured at the POS as the cardholder, for example, signs the credit card receipt. The unique code processor 230 and formatter 310 would then generate the single whole representation of secure endorsed transaction 320 that can be transmitted to the credit card processor where the data is stored for a predetermined period of time. In this case the POS in the code is capture/transmitted from consumer device the to POS system for processing. Moreover, there is an association between the credit card company and the vendor in order for any processing to take place. Alternatively, the single whole representation of secure endorsed transaction 320 may be stored at the merchant's site, removing the dependency a merchant has on the transaction processor. Because the integrity of the single whole representation of the secure endorsed transaction 320 is critical to the operation of the system 100, mass storage devices that provide write-once read-many times capability are particularly appropriate for storing the single whole representation of the secure endorsed transaction 320 when the underlying transaction involves the use of a credit card. Applicant also argue that Movalli does not disclosed of suggest identifying and executing a transaction. Again, Examiner respectfully disagrees with applicant characterization of the prior art. Movalli teach among other things a formatter 610 to create a single whole representation of the secure endorsed transaction, the human identifier 220, transaction data 210, public key 510, and digital signature 550 may be stored individually in a database, such as a relational

database, located, for example, on the hard disk 160. In this case, the verification process of FIG. 7 would also not involve the use of the formatter 610. Instead, the human identifier 220, transaction data 210, public key 510, and digital signature 550 are extracted from the database, processed by the unique code processor 230 to generate the new computed unique code 720, which would then be compared by the compare processor 420 with the unique code 710. If the compare processor 420 determines that the codes 710 and 720 match, then the forge-resistant, tamper-resistant secure endorsed transaction 620 (is original and) was not tampered with prior to verification. *At this time, the secure endorsed transaction 620 can be processed, for example, displayed, faxed, printed, etc. In the credit card example, the tamper-resistant secure endorsed transaction 620 could be printed as a signed credit card receipt for visual inspection and verification by humans.*

b. Applicant argues that the prior art fail to teach a system of dialing a transaction code comprises a telephone dial sequence onto a telephone network.... The telephone code disclose in the Applicant invention is interpreted as a transaction code comprise of number like a telephone number. One of ordinary skill in the art would recognized that the transaction code transmitted by the POS to the processing system act like a telephone number dialed through the telephone modem that is taught in Movalli's disclosure. In order for the transaction to be approved, the system has to recognized which merchant is it from in order to

properly execute the transaction. Therefore, the system detects the POS identification information which is part of the transaction code transmitted.

***Conclusion***

**THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

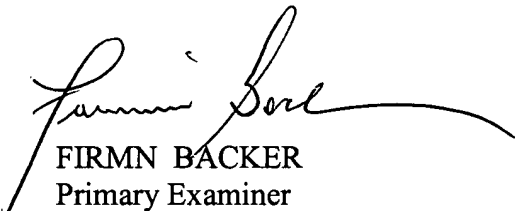
A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to FIRMIN BACKER whose telephone number is 571-272-6703. The examiner can normally be reached on Monday - Thursday 9:00 AM - 5:00 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Trammell can be reached on (571) 272-6712. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 3621

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).



FIRMIN BACKER  
Primary Examiner  
Art Unit 3621

May 11, 2006